

Chapter 6

The Project Proposal

6.1 General Discussion

The Project Proposal is the description of the proposed improvement which serves as the support document for Federal Highway Administration (FHWA) authorization of federal funds. The Project Proposal may serve as the design report for those projects that are categorically excluded. The proposal also provides a schedule which tells State and FHWA programmers when the local agency anticipates obligating federal funds.

The Project Proposal is one of the main items contained in the project application package discussed in this chapter. Other items in this package include the Local Agency Agreement (Chapter 7) and the items of supporting data listed in the Proposal Submittal Checklist (Appendix 6.31).

6.2 Procedure for Compiling the Project Application Package

Local agencies must submit the following to the MDT CTEP Engineer:

- Proposal Submittal Checklist.
- Original and one copy of the completed Project Proposal.
- Original and one copy of the Local Agency Agreement signed by the approving authority
- Supporting data listed in the Project Application Checklist
- Original and one copy of the Environmental Classification Summary Form

A given project may not require all of the items in the checklist; however, the local agency must include all items that are relevant. Identify those items included with an “x” in the right column of the checklist. Many of the items listed in the checklist take place during the course of project development and are not complete at the time the Project Proposal is submitted. An agency may note such items on the checklist and submit them when they are completed. The latest point at which each item may be submitted is noted in Appendix 6.32 describing the item in detail.

Incomplete, incorrect, or missing items will delay project authorization.

The first item in the project application package is the checklist. The next item is the three-page Federal Aid Project Proposal (Appendix 6.34) itself, which must be filled out with the current project information. Page 1 of the Federal Aid Project Proposal is used for the FHWA federal aid programming purposes. Pages 2 and 3 of the Federal Aid Project Proposal give the state and FHWA additional information about the proposed project, such as design and accident data, and identify other government agencies that will be involved during project development. Appendix 6.33 contains instructions for completing the Project Proposal.

6.3 Appendices

- 6.31 Proposal Submittal Checklist
- 6.32 Instructions for Project Application Transmittal Items
- 6.33 Instructions for Completing Project Proposal
- 6.34 Local Agency Federal Aid Project Proposal
- 6.35 Proposal Planning Scope of Work

Appendix 6.31 Proposal Submittal Checklist

Local Agency: _____ Project Identification: _____

Use this sheet as a cover sheet to the Project Proposal package. Place an "X" in the right column to denote items included.

If not applicable, state N/A. Include in the cover letter a comment explaining the action taken on each item as appropriate.

Note later with an "L" if the information will be supplied at a future date.

Application:

1. Project Proposal (Chapter 6) _____
2. Vicinity Map _____
3. Typical Roadway Section..... _____
4. Typical Bridge Section..... _____
5. Local Agency Agreement (Chapter 7)..... _____
6. TIP/STIP Inclusion (MPO/County/Agency, selected/limited to \$)..... _____

Supporting Data:

7. Safety Checklist- A Supplement to the Project Proposal for Resurfacing and Rehabilitation Projects (Appendix 13.51) _____
8. Photos:..... _____
9. Deviation Request and Deviation Analysis Form to Justify Request (reference Appendix 13.52)..... _____
10. Environmental Considerations (Chapter 9)..... _____
 - a. Categorically Excluded (CE)- Environmental Classification Summary (ECS)..... _____
 - b. Environmental Assessment (EA)..... _____
 - c. Environmental Impact Statement (EIS)..... _____
11. Hearing Notices (Chapters 9 and 15)..... _____
 - a. Transcript of Hearing..... _____
12. Location and Design Approval (Chapter 15)..... _____
13. Right-of-Way Requirements (Chapter 10)..... _____
 - a. Relocation Plan..... _____
 - b. Right-of- Way Plans..... _____
 - c. Right-of-Way Project Funding Estimate or True Cost Estimate..... _____
 - d. Request Right-of-Way Fund Authorization..... _____
14. Right-of-Way Certification (Chapter 10)..... _____
15. Agreements/Easements with Railroads, Utilities, and Other Agencies _____
16. FAA Notification (FAA Form 7460-1) (Chapter 9)..... _____
17. Tied Bids (Chapter 16)..... _____

Remarks:

Appendix 6.32 Instructions for Project Application Transmittal Items

The application package shall include:

1. Project Proposal (Attach completed proposal submittal checklist)

To be included with original submittal and whenever there is a change in the scope of work or termini. For planning and TDM projects, use the Project Proposal.

2. Vicinity Map

A vicinity map of the project with the termini clearly marked must be submitted with the Project Proposal. The map should be 8.5 inches by 11 inches and of a scale such that a reviewer can identify the project area in the field. Show the agency name, project title, project termini, north arrow, map scale, and nearest city or distance to the nearest city/town, or major road intersection.

3. Typical Roadway Section

Attach a sketch of the proposed roadway section showing all data pertaining to the section, including side slopes and limits of right-of-way. Also indicate stationing and note any variations of the section throughout the stationing. If the design does not conform to the design standards (see Section 13.6), a request for deviation from these standards with complete justification is required.

4. Typical Bridge Section

(If Necessary)

Attach a sketch of the proposed bridge section showing all dimensions and type of construction.

On bridge projects where approaches are to be included in the contract, include roadway section and length of the approaches. In cases where the structure consists of a main span and approach spans, the length of the approach spans should be indicated, if known.

5. Local Agency Agreement

This agreement is necessary on all projects involving federal funds and/or when state forces will be involved in the processing of projects. It must be submitted with the Project Proposal. See Chapter 7 for instructions on completing the agreement.

6. Deviation Request

See Section 13.52.

7. Hearing Notices

Chapters 9 and 15 outline procedures for public hearings.

8. Scope of Work Report Approval

For most projects, the Project Proposal along with the data satisfying items 1 to 14 of this transmittal, pavement design criteria and geometric design will be considered sufficient for the Scope of Work Report. Complicated projects require a more detailed Scope of Work Report. The items listed below are typically required discussion for Scope of Work Report approval.

- a. Traffic Data, Design-year ADT.
- b. Accident Data.
- c. Right-of-Way

- d. Utilities
- e. Design Speed
- f. Horizontal-Vertical Alignment
- g. Roadway Section
- h. Pavement Design Criteria
- i. Grading
- j. Hydraulics
- k. Traffic
- l. Bike/Pedestrian Features
- m. Design Exceptions
- n. Traffic Control
- o. Cost Estimate
- p. Environmental Considerations
- q. Public Involvement
- r. Permits

9. Right-of-Way Requirement

- a. No right-of-way required. Mark appropriate box on proposal. This serves as the agency's right-of-way certification. (This replaces the no right-of-way certification.)
- b. Right-of-way required. Mark appropriate box on proposal and refer to Chapter 10 for further instructions.

10. Right-of-Way Certification

Required on all projects where right-of-way was acquired. Refer to Chapter 10 for further explanation.

11. Agreements/Easements With Railroads

Refer to MDT CTEP Engineer

12. FAA Notification

Check with the nearest FAA office if the project is within 3.2 km (2 miles) of an airport, if significant.

13. Tied Bids

If the project has tied bids (see Chapter 16), indicate the approval date. If the project is tied to another federally funded project, include the federal aid project number of the project, along with other information outlined in Section 16.

Appendix 6.33 Instructions for Completing Project Proposal

Ensure that reproductions are readable.

Federal Aid Project Number

MDT will assign

Date

Form is filled out.

Local Agency Project Number

Limited to eight (8) alpha/numeric characters that your agency identifies.

Federal Employer Tax ID Number

Required. Indicate the agency's tax identification number.

Agency

Required. This is your agency's name.

Federal Program Title

Enter the program number or title from the following list:

20.205 Highway Planning and Construction

Project Title

Write the project's title, as shown in TIP/STIP.

Project Termini

Indicate the beginning and ending limits of the section to be improved. For railway/highway grade crossing projects, show the name of the railroad involved. For intersection projects write the name of the crossroad.

From: To;

Indicate MP to MP

Length of Project

Project's length in miles.

Award Type

Mark the appropriate type

Federal Agency

Indicate where the federal funds are coming from FHWA, etc.

City Number

For a city project, write the city number.

County Number

Write your county number.

County Name

Write the county the project is in.

MDT District

Write your MDT District number.

Congressional District

Indicate the number of the congressional district or districts in which this project is located.

Legislative District

Indicate legislative district(s).

Urban Area Route Number

For projects inside urban areas, locate the appropriate urban area route numbers.

MPO

Indicate which Metropolitan area the project is located in.

Total Estimated Cost

Required for each phase of the project; estimate to the nearest hundred dollars.

Local Agency Funding

Required for each phase of the project; estimate to the nearest hundred dollars.

Federal Funds

Required for each phase of the project; estimate to the nearest hundred dollars.

Phase Start Date

Enter the month and year which expenditure for the phase will begin.

Description of Existing Facility

In one or two paragraphs, give a detailed description of the existing facility including but not limited to: (1) type, pavement, lane and shoulder width, horizontal and vertical alignment and (2) condition of existing surfacing and roadway within project limits, and on adjacent sections at each end of the project. Note any substandard existing alignment and grade or other project deficiencies.

Description of Proposed Work

Check whether the project is new construction, reconstruction, resurfacing or rehabilitation as described in Chapter 13. Explain the nature of the improvement proposed such as widening of existing roadway for additional lanes or left-turn channelization; or to provide signalization to an intersection. Give the purpose of the improvement, such as upgrade facility to current standards, or to remedy a hazardous situation, or reduce congestion. Indicate the major work involved, such as grading, surfacing, bridge construction, drainage, etc. Give a contact person for the project in case there are questions.

Design Approval

On all federal aid transportation projects, agencies should document a location and design report to the agency and should document any evidence prior to requesting approval to acquire right-of-way or the preparation of the PS&E.

A project design cannot be approved before the environmental considerations have been approved by FHWA.

In most cases, the Project Proposal serves as the location and design report and this space is provided for the approving authority of the local agency to sign and date indicating the location and design approval.

When there is a subsequent change to the project design, an amended location-design approval is required.

Geometric Design Data Accidents

Refer to design report data and/or Chapter 14.

Enter the required accident information in the appropriate blanks according to the following definitions.

There are three categories of accidents differentiated by increasing degrees of severity — property damage, injury, and fatal. An accident, irrespective of the number of vehicles involved or the number of persons killed or injured, is entered as one accident and defined as follows:

- a. Property Damage Accident: If there is damage to one or more vehicles or property, with no injuries and no fatalities, this equals one property damage accident.
- b. Injury Accident: If one or more persons are injured, regardless of property damage, this equals one injury accident.
- c. Fatal Accident: If one or more persons are killed regardless of property damage, this equals one fatal accident.

Examples:

1. Vehicle leaves roadway and hits utility pole. but driver is not hurt.
Category: Property Damage Acc.
2. Vehicle slows on roadway, is hit from behind and pushed into vehicle ahead. Two persons are injured.
Category: Injury Accident (two persons injured)
3. Two vehicles collide at intersection and involve two other vehicles. Two people are killed, three occupants are injured, and one pedestrian is injured.
Category: Fatal Accident (two fatalities, four injuries)

If the above examples were all of the accidents for a location during a year, the total annual accident experience would indicate:

- 1 Property damage
- 1 Injury accident

- 1 Fatal accident
- 3 Accidents total
- 6 Persons injured
- 2 Persons killed

All accident, injury, and fatality information must be derived from official records.

Performance of Work

PE: Indicate who will be performing the work and the percentage of the work they will do.

CN: Indicate if work is to be done by contract and/or local forces and the percentage to be done by each.

CE: Describe responsibilities

IC: Describe responsibilities

Environmental Classification

Mark the appropriate NEPA class of the project as defined in Chapter 9.2.

If the nature of the proposed improvement is likely to have a significant impact on the environment an “Environmental Impact Statement” (EIS) is required

If the project is not expected to have a significant impact on the environment a “Categorical Exclusion” (Cat Ex) is determined.

When the significance of the impact on the environment is not clearly established an “Environmental Assessment” (EA) will be required

Right-of-Way Requirements

- a. No right-of-way required. Projects need only check no right-of-way.
- b. Right-of-way required. A Right-of-Way Project Funding Estimate or True Cost Estimate, a Right-of-Way Plan, and a Relocation Plan (if required).

If right-of-way acquisition becomes necessary on a job previously submitted as having no right-of-way, a Project Funding Estimate or True Cost Estimate would need to be submitted to the MDT CTEP Engineer.

Description of Utility Relocation or Adjustments and Existing Major Structures Involved

Indicate the agency responsible for any relocation and/or adjustments.

- a. Existing utilities-type of utility, publicly or privately owned, and other pertinent information.
- b. Existing major structures — number, year built, overall length and conditions, roadway width, estimated or posted capacity, and proposed treatment of any substandard structures to remain in place.

Appendix 6.34 Local Agency Federal Aid Project Proposal



Montana Department of Transportation

Local Agency Federal Aid
Project Proposal

	Prefix	Route	()		
Federal Aid Project Number				Date	
Local Agency Project Number				Federal Employer Tax ID Number	
Local Agency			Federal Program Title <input type="checkbox"/> 20.205 <input type="checkbox"/> Other		
Project Title					
Project Termini From			To		
Length of Project			Award Type <input type="checkbox"/> Local <input type="checkbox"/> Local Forces <input type="checkbox"/> State		
Federal Agency <input type="checkbox"/> FHWA <input type="checkbox"/> Others		City Number	County Number	County Name	MDT District
Congressional District		Legislative District		Urban Area Number	MPO
Phase	Total Estimated Cost (Nearest Hundred Dollar)	Local Agency Funding (Nearest Hundred Dollar)	Federal Funds (Nearest Hundred Dollar)	Phase Start Date Month Year	
P.E.					
ROW					
Const.					
C.E.					
I.C.					
Total					
Description of Existing Facility (Existing Design and Present Condition)					
Roadway Width			Number of Lanes		
Description of Proposed Work					
<input type="checkbox"/> New Cnstr <input type="checkbox"/> Re-Cnstr <input type="checkbox"/> Resurface/Rehab		Roadway Width		Number of Lanes	
Local Agency Contact Person		Title		Phone	
Mailing Address			City	State	Zip Code
Design Approval (CA Agencies Only)		By _____ Approving Authority Title _____ Date _____			

Local Agency Federal Aid Project Proposal - Page 1 of 3

Local Agency		Project Title		Date		
Geometric Design Data						
Description		Through Route		Crossroad		
Federal Functional Classification		Urban <input type="checkbox"/> Principal Arterial <input type="checkbox"/> Minor Arterial <input type="checkbox"/> Collector		Urban <input type="checkbox"/> Principal Arterial <input type="checkbox"/> Minor Arterial <input type="checkbox"/> Collector		
Terrain		<input type="checkbox"/> Flat <input type="checkbox"/> Roll <input type="checkbox"/> Mountain		<input type="checkbox"/> Flat <input type="checkbox"/> Roll <input type="checkbox"/> Mountain		
Posted Speed						
Design Speed						
Existing ADT						
Design Year ADT						
Design Year						
Design Hourly Volume (DHV)						
Accident – 3 Year Experience						
Year	Property Damage Accidents	Injury Accidents		Fatal Accidents		Total Number of Accidents
		Number of Accidents	Number of Injuries	Number of Accidents	Number of Fatalities	
Total Number of Accidents Attributable to Lack of having the Proposed Improvement						
Performance of Work						
Preliminary Engineering Will Be Performed By				Others %	Agency %	
Construction Will Be Performed By				Contract %	Agency %	
Construction Engineering Will Be Performed By				Others %	Agency %	
Incidental Construction Will Be Performed By				Contract %	Agency %	
Environmental Classification						
<input type="checkbox"/> Final <input type="checkbox"/> Preliminary <input type="checkbox"/> Environmental Impact Statement (EIS) <input type="checkbox"/> Programmatic Categorically Excluded (Cat Ex) <input type="checkbox"/> Project Involves NEPA/MEPA Section 404 Interagency Agreement <input type="checkbox"/> Projects Requiring Documentation (Documented Cat Ex) <input type="checkbox"/> Environmental Assessment (EA) <input type="checkbox"/> Project Involves NEPA/MEPA Section 404 Interagency Agreement						
Environmental Considerations						

Local Agency	Project Title	Date
Right of Way		
<input type="checkbox"/> No Right of Way Required All construction required by the contract can be accomplished within the existing right of way.	<input type="checkbox"/> Right of Way Required	
	<input type="checkbox"/> No Relocation	<input type="checkbox"/> Relocation Required
Incidental Construction		
Description of Utility Relocation of Adjustments and Existing Major Structures Involved in the Project		
FAA Involvement Is any airport located within 3.2 kilometers (2 miles) of the proposed project? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Remarks		

This project has been reviewed by the legislative body of the administration agency or agencies, or its designee, and is not inconsistent with the agency's comprehensive plan for community development.

Agency _____

Date _____

By _____

Mayor/Chairperson

Appendix 6.35 Proposal Planning Scope of Work

**FEDERAL-AID PROJECT PROPOSAL
PLANNING SCOPE OF WORK**

Agency_____Federal Aid Project Number_____

Project Title

Federal Funding Program _____ Amount _____

Matching Funds _____ Total Amount _____

Project Area

_____Background

Type of Study (check all that apply)

Region _____ Area _____ Corridor _____ Intersection _____

Design _____ Feasibility _____ Modeling _____

Other

Scope of Work

Public Involvement Plan

Environmental Considerations

TDM/TSM and Transit Alternatives to be considered

Land Use Implications

Project Schedule

Cost Breakdown by Task

Deliverable Final Products
